

01/11/99

1-571 U.S. PTO

**NEW UTILITY PATENT  
APPLICATION TRANSMITTAL**

(to be used for new applications only)

Attorney Docket Number

88/24

First Named Inventor

LAWRENCE KOHLIS

Total Pages in this Submission

63

JCS11 U.S. PTO  
09/228909

01/11/99

**APPLICATION ELEMENTS**

Notice: Checklist items mentioned under *Application Elements* section construct a new utility patent application. Please refer to MPEP Sections 506, 601, (37CFR 1.77, 1.53, 35 USC 111, 112, 113) for detailed explanation regarding completeness of an original patent application.

**ACCOMPANYING APPLICATION PARTS**1. ☒ Fee Transmittal Form (prescribed filing fee(s))

2. Specification

☒ Title of the Invention☐ Cross References to Related Applications  
(if applicable)☐ Statement Regarding Federally-sponsored  
Research/Development (if applicable)☐ Reference to Microfiche Appendix  
(if applicable)☒ Background of the Invention☒ Brief Summary of the Invention☒ Brief Description of the Drawings  
(if drawings filed)☒ Detailed Description☒ Claim or Claims☒ Abstract of the Disclosure3. ☒ Drawing(s) (when necessary as prescribed by  
35 USC 113)4. ☒ Executed Declaration5. Genetic Sequence Submission  
(if applicable, all must be included)☐ Paper Copy☐ Computer Readable Copy☐ Statement Verifying Identical Paper and  
Computer Readable Copy6. ☐ Assignment Papers7. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)8. ☐ Computer Program in Microfiche9. ☐ English Translation Document (if applicable)10. ☒ Information Disclosure Statement/PTO-1449 ☒ Copies of IDS  
Citations <sup>1</sup>11. ☐ Petition Checklist and Accompanying Petition12. ☐ Preliminary Amendment13. ☐ Proprietary Information14. ☒ Return Receipt Postcard15. ☒ Small Entity Statement <sup>s</sup> (2)16. ☐ Additional Enclosures (please identify below):**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
Individual name

Philip KOENIG

Signature

Philip Koenig

Date

1/11/99

**FOR OFFICIAL USE ONLY**

Application Number		Class		Independent Claims	
Date of Receipt	Application Type	GAU		Total Claims	
	Filing Date	Foreign Filing License?		Drawing Sheets	
	Small Entity	Foreign Address?		Special Handling?	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**FEE TRANSMITTAL**TOTAL AMOUNT OF PAYMENT (\$)**662.****Complete if Known**

Application Number

Filing Date

First Named Inventor

LAWRENCE KOHLS

Group Art Unit

Examiner Name

Attorney Docket Number

98/24

**METHOD OF PAYMENT (check one)**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
NumberDeposit  
Account  
Name☐ Charge Any Additional  
Fee Required Under 37  
CFR 1.16 and 1.17☐ Charge the Issue Fee Set in 37  
CFR 1.18 at the Mailing of the  
Notice of Allowance, 37 CFR  
1.311(b)

- 2.
- ☒
- Payment Enclosed:

☒ Check☐ Money  
Order☐ Other**FEE CALCULATION (fees effective 10/01/96)****1. FILING FEE**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101 770	201 380	Utility filing fee	380
106 320	206 160	Design filing fee	
107 530	207 265	Plant filing fee	
108 770	208 385	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$)

**2. CLAIMS**

Total Claims	Extra	Fee from below	Fee Paid
34 -20 =	14	X 9 =	126
Independent Claims 7 -3 =	4	X 39 =	156
Multiple Dependent Claims		X	

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description
103 22	203 11	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 260	204 130	Multiple dependent claim
109 80	209 40	Reissue independent claims over original patent
110 22	210 11	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**282****FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet.	
139 130	139 130	Non-English specification	
147 2,460	147 2,460	For filing a request for reexamination	
112 900	112 900	Requesting publication of SIR prior to Examiner action	
113 1,790	113 1,790	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for response within first month	
116 390	216 195	Extension for response within second month	
117 930	217 465	Extension for response within third month	
118 1,470	218 735	Extension for response within fourth month	
119 300	219 150	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,470	138 1,470	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive unavoidably abandoned application	
141 1,290	241 645	Petition to revive unintentionally abandoned application	
142 1,290	242 645	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 650	244 325	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 230	126 230	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 770	246 385	Filing a submission after final rejection (37 CFR 1.129(a))	
149 770	249 385	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify)

Other fee (specify)

SUBTOTAL (3) (\$)

\* Reduced by Basic Filing Fee Paid

**SUBMITTED BY**Typed or  
Printed Name

Philip KOENIG

Signature

Date

1/11/99

**Complete (if applicable)**

Reg. Number

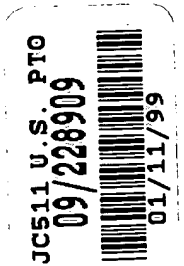
31,386

Deposit Account  
User ID

Attorney's Docket No. 98/24

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Box Patent Application  
Assistant Commissioner for Patents  
Washington D.C. 20231

Re patent application of :  
Lawrence Kohls and Brian Clare

For: Trading System for Fixed-Value Contracts

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that the enclosed New Utility Patent Application Transmittal, and the documents referred to therein as being enclosed therein, are being deposited with the United States Postal Service on this date:

January 11, 1999

In an envelope as "Express Mail Post Office to Addressee"

Mailing Label Number: **EL020693703US**

Addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Philip G. Koenig (Reg. No. 31,386)

A handwritten signature in black ink, appearing to read "Philip Koenig", written over a horizontal line.